

#24
PATENT

Docket No. 10392/46001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors : Steven M.H. WALLMAN

Serial No. 09/038,158

Filed : March 11, 1998

For : METHOD AND APPARATUS FOR ENABLING
SMALLER INVESTORS OR OTHERS TO CREATE AND
MANAGE A PORTFOLIO OF SECURITIES OR OTHER
ASSETS OR LIABILITIES ON A COST EFFECTIVE
BASIS

Group Art Unit : 2773

Examiner: : Not Assigned

ASSISTANT COMMISSIONER
FOR PATENTS
Washington, D.C. 20231

REQUEST FOR ISSUANCE OF A CORRECTED FILING RECEIPT

SIR:

Enclosed is a copy of the corrected filing receipt on which the "SMALL ENTITY" status of the Applicant should be indicated. A copy of the Verified Statement Claiming Small Entity, filed on May 8, 1998, together with a copy of the stamped filing postcard is enclosed.

It is respectfully requested that a corrected filing receipt be issued showing the small entity status of the Applicant.

Respectfully submitted,

Dated: June 19, 1998



Michael P. Fortkort
(Reg. No. 35,141)

KENYON & KENYON
1025 Connecticut Avenue, N.W.
Washington, D.C. 20036
(202) 429-1776

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DEC 22 1998

Group 2700

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FILING RECEIPT



UNITED STATES DEPARTMENT OF COMMERCE
Pat nt and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTORNEY DOCKET NO.	DRWGS	TOT CL	IND CL
09/038,158	03/11/98	2773	\$1,592.00	10392-46001	13	49	5

MICHAEL P FORTKORT
KENYON & KENYON
1025 CONNECTICUT AVENUE N W
SUITE 600
WASHINGTON DC 20036

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Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Application Processing Division's Customer Correction Branch within 10 days of receipt. Please provide a copy of the Filing Receipt with the changes noted thereon.

Applicant(s)

STEVEN M. H. WALLMAN.

FOREIGN FILING LICENSE GRANTED 05/27/98

TITLE

METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR
LIABILITIES ON A COST EFFECTIVE BASIS

PRELIMINARY CLASS: 345

SMALL ENTITY

The stamp of the Patent Office hereon may be taken as acknowledging the receipt, on the date stamp of

INVENTOR(S): Steven M.H. WALLMAN
SERIAL NO.: 09/038,158
FILED: March 11, 1998
TITLE: METHOD AND APPARATUS FOR ENABLING
SMALLER INVESTORS OR OTHERS TO CREATE AND
MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS R
LIABILITIES ON A COST EFFECTIVE BASIS
GROUP ART: (unknown)
EXAMINER: (unknown)

TRANSMITTAL OF DECLARATION AND POWER OF ATTORNEY AND
VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS AND REQUEST
FOR REFUND UNDER 37 C.F.R. §1.26.

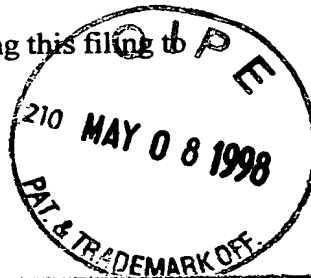
The PTO is authorized to charge any fees regarding this filing to P
Deposit Account No. 11-0600

If you have any questions, please call (202) 775-2887.

MPF/ew

10392-46001

May 8, 1998



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*** APPLICATION INFORMATION DISPLAY ***

11/13/98 09:30

DETAIL

INFORMATION:

CONTENTS:

SC/SN: 09/038158

FILD7: 03/11/98

PATNO:

PUBNO:

F038158

ISSDT: 00/00/00

PUBDT: 00/00/00

ABNDT: 00/00/00

PGPUB CL/SC: / .

APPL: WALLMAN

LOC: 2764 2702 LOCDT: 11/06/98 BATNO:

CHG-LOC: 2764 2702 IE TEAM: 00 ISSN0: 00

CHGTO-NAME: NOT ASSIGNED

TOT ACT: 00 STATUS: 002 STADT: 06/12/98

RESP CD: START DT: / / DUE DT: / /

EXMR NO/NAME: 00000/NOT ASSIGNED

DOCKET DATE: / / GAU: 2773 L R CD: 01

ATTY DOCK #: 10392-46001 LOST N LOST DT 00/00/00

APPLN TYPE: 1 TYPE SM ENT: 1 UNMAT PET: N

CURR CL/SC: 345/ . FOR PRIOR CL: N PET FAOM:

TITLE OF INVENTION: UNAVAIL FOR ACTION: N PP UNAVAIL: 0

METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR
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END OF DISPLAY

TO DISPLAY CONTENTS: PUSH SEND

PATENT

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Inventors : Steven M.H. WALLMAN

Serial No. : 09/038,158

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Group Art Unit : 2773

DEC 22 1993

Examiner: : Not Assigned

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ASSISTANT COMMISSIONER
FOR PATENTS
Washington, D.C. 20231

ATTENTION: BOX MISSING PARTS

**RESPONSE TO NOTICE TO FILE MISSING PARTS
OF APPLICATION FILING DATE GRANTED**

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98 JUN 29 PM 12:59
GROUP 2700


SIR:

In response to the Notice to File Missing Parts of Application mailed June 15, 1998, submitted herewith are copies of the Transmittal Letter, Declaration/Power of Attorney, and Verified Statement Claiming Small Entity filed on May 8, 1998, together with a copy of the stamped filing postcard.

Please charge Deposit Account No. 11-0600 in the amount of \$65.00 for the small entity fee to cover the filing of this document. A copy of this sheet is enclosed for that purpose.

Respectfully submitted,

Date: June 19, 1998


Michael P. Fortkort
(Reg. No. 35,141)

KENYON & KENYON
1025 Connecticut Ave., N.W.
Washington, D.C. 20036
(202) 429-1776
164527

2773

The stamp of the Patent Office hereon may be taken as acknowledging the receipt, on the date stamp of

INVENTOR(S): Steven M.H. WALLMAN
SERIAL NO.: 09/038,158
FILED: March 11, 1998
TITLE: METHOD AND APPARATUS FOR ENABLING
SMALLER INVESTORS OR OTHERS TO CREATE AND
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LIABILITIES ON A COST EFFECTIVE BASIS
GROUP ART: (unknown)
EXAMINER: (unknown)

TRANSMITTAL OF DECLARATION AND POWER OF ATTORNEY AND
VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS AND REQUEST
FOR REFUND UNDER 37 C.F.R. §1.26.

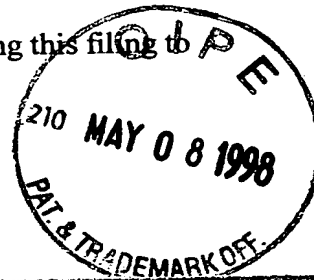
The PTO is authorized to charge any fees regarding this filing to
Deposit Account No. 11-0600

If you have any questions, please call (202) 775-2887.

MPF/ew

10392-46001

May 8, 1998



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GROUP 2700

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98 JUL 24 AM 10:35
GROUP 2700

PATENT
Docket No. 10392/46001
IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventors : Steven M.H. WALLMAN
Serial No. : 09/038,158
Filed : March 11, 1998
For : METHOD AND APPARATUS FOR ENABLING
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ASSISTANT COMMISSIONER
FOR PATENTS
Washington, D.C. 20231

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ATTENTION: REFUND SECTION

TRANSMITTAL OF DECLARATION AND POWER OF ATTORNEY AND
VERIFIED STATEMENT CLAIMING SMALL ENTITY STATUS
AND REQUEST FOR REFUND UNDER 37 C.F.R. §1.26

SIR:

Submitted herewith is a Declaration and Power of Attorney and a Verified Statement Claiming Small Entity Status - Independent Inventor, each duly signed by the inventor.

A refund of the overpayment of one-half the filing fee of \$755.00 is respectfully requested.

Please credit Deposit Account No. 11-0600 in the amount of \$755.00 representing one-half the filing fee of \$1,510.00. A copy of this sheet is enclosed for that purpose.

Respectfully submitted,

Dated: 5/8/98

KENYON & KENYON
1025 Connecticut Avenue, N.W.
Washington, D.C. 20036
Telephone: (202) 429-1776
Facsimile: (202) 427-0796

By: Michael P. Fortkort

Michael P. Fortkort (Reg. No. 35,144)

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IN THE UNITED STATES
PATENT AND TRADEMARK OFFICE

DECLARATION AND POWER OF ATTORNEY

As the below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor of the subject matter which is claimed and for which a patent is sought on the invention entitled **METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS**, which was filed on March 11, 1998 and received Serial No. 09/038,158.

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, Code of Federal Regulations, §1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, §119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

None

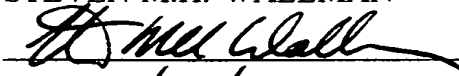
And I hereby appoint Michael P. Fortkort (Reg. No. 35,141) my attorney with full power of substitution and revocation, to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

Please address all communications regarding this application to:

KENYON & KENYON
1025 Connecticut Ave., N.W.
Washington, D.C. 20036

Direct all telephone calls to Michael P. Fortkort at (202) 429-1776.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Inventor : STEVEN M.H. WALLMAN
Inventor's Signature : 
Date : 3/17/98
Residence : 9332 Ramey Lane
Great Falls, Virginia 22066-2025

Citizenship : U.S.A.

Post Office Address : Same as above.

Applicant or Patentee: Steven M.H. Wallman
Serial or Patent No.: 09/038,158
Filed or Issued: March 11, 1998

Attorney's Docket No.: 10392-46001

Title: **METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO
CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR
LIABILITIES ON A COST EFFECTIVE BASIS**

**VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(c) & 1.27(b)) -- INDEPENDENT INVENTOR**

As a below named inventor, I hereby declare that I qualify as an independent inventor as defined in 37 C.F.R. 1.9(c) for purposes of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, to the Patent and Trademark Office with regard to the invention entitled **METHOD AND APPARATUS FOR ENABLING SMALLER INVESTORS OR OTHERS TO CREATE AND MANAGE A PORTFOLIO OF SECURITIES OR OTHER ASSETS OR LIABILITIES ON A COST EFFECTIVE BASIS** described in

- ☐ the specification filed herewith
☒ application serial no. 09/038,158 filed March 11, 1998.
☐ patent no. _____, issued _____.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who could not be classified as an independent inventor under 37 C.F.R. 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e).

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ No such person, concern, or organization exists.
☐ Each such person, concern or organization is listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. 1.27).

FULL NAME: Steven M.H. Wallman

ADDRESS: 9332 Ramey Lane, Great Falls, Virginia 22066-2025

☒ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.



Steven M.H. Wallman

Date: 3/17/98